## COPY OF PAPERS ORIGINALLY FILED

Approved for use through 10/31/2002. OMB 0651-0031

Please type a		•	box $\longrightarrow \coprod$	<del>_</del>	5, no persons ar	U.S. Patent re required to respond to a collection	and Trademark Office: U	J.S. DE	PARTMENT OF COMM ins a valid OMB control n	<b>MERCE</b>
Substit	nite for form	n 1449A/PTO	)				Complete if Kno	wn		
						Application Number	09/833,407			
	INFORMATION DISCLOSURE Filing Date April 11, 2001									
	STATEMENT BY APPLICANT				T	First Named Inventor	Luchoomun,	, et c	2 <i>l</i> .	
					1	Group Art Unit	1614	•		
/ 0	(He	par many s	sheets as neces	isary)	•	Examiner Name	N/A			
Sheed 1	4 7002	26 30/2	of	1		Attorney Docket Number	04676.105059	9		
138	<u> </u>	<del>-</del>					<u> </u>			
TO TO	RACELLA	<u> </u>			U.S. PAT	ENT DOCUMENTS				
Examiner Initials *	Cite No. 1	U.S. Num		ment nd Code ' f known)	Name of	f Patentee or Applicant of Cited Document	Date of Publica of Cited Docum MM-DD-YYY	nent	Pages, Columns, Lii Where Relevant Passa Relevant Figures Ap	ages or
								R	ECEIVE	D
									MAR 2 0 2002	<u></u>
<b></b>	<b></b>			<del>   </del>					l	
				· FO	DEICN P	ATENT DOCUMENTS	_ <del></del>	rect	H CENTER 1600	المتعال
	-1	<del></del>	Tamin Da			TENT DOCUMENTS	•	T <sub>p</sub> ,	ages, Columns, Lin	nac
Examiner Initials *	Cite No. 1		Foreign Par	Kind	Code <sup>2</sup> (if known)	1	ŀ		Where Relevant Passages or Releva Figures Appear	t ant
	+ -	wo	US 96/08	8239	A	21-03-1996	PCT			
#/										
		T				<u>'</u>		₩		
	<del> </del>	<del></del>	<del> </del>				<del></del>	$\vdash$		
	<del> </del>	<del> </del>	<del> </del>	<del></del>	<del></del>			┼─		
	<u></u>									
<del></del>			OTHER	DDIOD A	PT NON	PATENT LITERATURE	POCUMENTS			
<u> </u>		Inc				AL LETTERS), title of the		priate	e) title of the	<del></del>
Examiner Initials *	Cite No. <sup>1</sup>	iten	n (book, mag	gazine, jour	mal, serial, s	symposium, catalog, etc.), d city and/or country where p	iate, page(s), volume	e-issu	ie number(s),	T6
	<del></del>									┼
					<del></del>		<del></del>			┼──
	-+									<u> </u>
<u> </u>			X						4	
Examine Signatur			1/4				Date Considered	, 1/0	04	

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>3</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

04676.105059

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

\*\*Complete if Known\*\*

Application Number 09/833,407

Filing Date 04/11/01

First Named Inventor Luchoomun, et al.

Group Art Unit 1614

Attorney Docket Number

3

			U.S. PATENT DOCUMENTS		
Examiner Initials *	Cite No. 1 Number Kind Code (if known)		Name of Patentee or Applicant of Cited Document	Date Filed	Pgs, Clmns, Lns, Where Relevant Passages/Relevant Figs Appear
	AA	U.S.S.N. 09/370,046	Russell M. Medford, et al	08/06/99	
	AB	U.S.S.N. 09/436,892 (Corrected Amendment and Response to Office Action dated 08/17/01)	Medford, et al	11/09/99	
	AC	U.S.S.N. 09/570,098 (Amendment and Response to Office Action dated 05/12/00)	Patricia K. Somers	05/12/00	
	AD	U.S.S.N. 09/779,086 (Substitute Specification and Drawings filed 06/18/01)	Chinery, et al	02/07/01	
	AE	Ú.S.8:N. 09/815,262	Charles Q. Meng, et al	03/21/01	

## **RECEIVED**

DEC 0 3 2002

Examiner Signature	Date Considered	IECH CENTER 1600/290

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>3</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

貿

0 2

PTO/SB/08A (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known Subjected for form 1449/PTO Application Number 09/833,407 SUPPLEMENTAL Filing Date 04/11/01 INFORMATION DISCLOSURE First Named Inventor Luchoomun, et al STATEMENT BY APPLICANT Group Art Unit 1614 Attorney Docket Number 04676.105059 Sheet 3

	BA	U.S.S.N.		Patricia K. Somers	01/30/02	
		10/060,7/34				
		(Preliminary				
		Amendment				
		Filed				
		Ø1/30/02)				
	BB	U.S.S.N.		Patricia K. Somers, et al	10/25/01	
		10/036,307				
	BC	U.S.S.N.		Charles Q. Meng	04/02/02	
		10,114,346				
		(Preliminary				
		Amendment				
		Fried 04/02/02				
	BD	U.S.S.N.		Charles Q. Meng	04/02/02	
		10/114,2/51			7,000	
		(Preliminary				
		Amendment				
		Filed 04/02/02				
	BE	U.S.S.N.		Charles Q. Meng	04/02/02	
		10/115,206				
		(Preliminary				
		Angendment			}	
		Filed 04/02/02				
	BF	U.S.S.N.		Luchoomun, et al	04/11/02	
		10/122,516				
	BG	5,294,724		Jendralla, et al	03/15/94	
	BH	6,121,319		Patricia K. Somers	5/14/98	
	BI	6,147,250		Patricia K. Somers	5/14/98	
Was	BJ	6,323,359		Jass	11/27/01	
"1///	BK	6,448,019	B1	Mendelsohn et al.	10/1/99	

DEC U 3 2002

RECEIVED

Examiner Signature	Lilm	Date Considered Considered	900
			_

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>3</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Approved for use through 10/31/2002. OMB 0651-0031
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number. Complete if Known SUPPINFORMATI Application Number 09/833,407 **SUPPLEMENTAL** Filing Date 04/11/01 INFORMATION DISCLOSURE First Named Inventor Luchoomun, et al STATEMENT BY APPLICANT Group Art Unit 1614 Attorney Docket Number 04676.105059 heet 3 of 3

	FOREIGN PATENT DOCUMENTS								
	a	Foreign Patent Document			N	Name of Patentee or	Date of Publication	Pages, Columns, Lines,	
Examiner Initials *	Cite No. 1	Office <sup>3</sup>	Number	Kind Co	_	Applicant of Cited Document	of Cited Document DD-MM-YYYY	Where Relevant Passages or Relevant Figures Appear	Té
				_					
•									

		OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS	
Examiner Initials *	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	Te
K		Meng et al.; Novel Phenolic Antioxidants as Multifunctional Inhibitors of Inducible VCAM-1 Expression for Use in Atherosclerosis," <i>Bioorganic &amp; Medicinal Chemistry Letters</i> ; (2002); pp. 2545 – 2548	
av.		Rinninger et al.; "Probucol Enhances Selective Uptake of HDL-Associated Cholesteryl Esters In Vitro by a Scavenger Receptor B-I-Dependent Mechanism," Artherioscler Thromb Vasc Biol.; (1999); Vol. 19; pp. 1325 - 1332	
M		Sawayama, et al.; "Effects of Probucol and Pravastatin on Common Carotid Atherosclerosis in Patients with Asymptomatic Hypercholesterolemia," <i>Journal of the American College of Cardiology</i> ; Vol 39; No. 4; (2002); pp. 610 - 616	

**BECEIVED** 

DEC 0 3 2002

**TECH CENTER 1600/2900** 

			4
Examiner Signature	Lille	Date Considered	01/04

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>3</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>4</sup> Applicant is to place a check mark here if English language Translation is attached.

Substitute for form 1449A/PTC	)			Complete if Known	当	AN
			Application Number	09/833,407	H	-
INFORMATIO	N DISCL	OSURE	Filing Date	April 11, 2001	<del>20</del>	<del>∞</del>
OSTATEMENT I	BY APPL	ICANT	First Named Inventor	Luchoomun et al.	8	<del>                                      </del>
<b>\$</b>			Group Art Unit	1614 .	8	
JAN 1 5 2002 (use as many s	sheets as necessa	i <i>r</i> y)	Examiner Name	Not Assigned	0	
Sheet 10	of	3	Attorney Docket Number	ATH113US (04676.105059)		
PADEMA						•

U.S. PATENT DOCUMENTS						
· ·	-	U.S. Patent Document		Date of	Pgs, Cols, Lns,	
Examiner Initials *	Cite No. 1	Number Kind Code (if known)	Name of Patentee or Applicant of Cited Document	Publication of Cited Document MM-DD-YYYY	Where Relevant Passages/Figures Appear	
Mi	AA	4,076,841	Wagner et al.	02/28/1978		
	AB	5,262,439	Parthasarathy	11/16/1993		
	AC	5,627,205	Regnier et al.	05/06/1997		
M	AD	5,770,355	Brocia et al.	06/23/1998		

	FOREIGN PATENT DOCUMENTS										
Examiner Initials *	Cite No. <sup>1</sup>		Foreign Patent Do	Code <sup>2</sup> (if known)	Date of Publication of Cited Document DD-MM-YYYY	Country	Pgs, Clms, Lns, Where Relv. Psgs/ Fig Appear	T <sup>6</sup>			
1 AX	AE	wo	95/30415	Al	16.11.1995	PCT-US					
1	AF	WÓ	97/26258	A1	24.07.1997	PCT-EPO					
	AG	wo	98/30255	A2	16.17.1998	PCT-US		<u>L_</u>			
do-	AH	wo	98/51289	A2	19.11.1998	PCT-US		<u> </u>			
111	AI	wo	98/51662	A2	19.11.1998	PCT-US					
	AJ	wo	99/24400	Al	20.05.1909	PCT-US		<u> </u>			
	· AK	wo	00/26184	A1	11.05.2000	PCT-Germany					
Al	AL	wo	00/28332	A1	18.05.2000	PCT-US					
<i>1</i> //\	AM	EPO	212 310	A2	04.03.1987	EPO-Germany					
1	AN	EPO	254 272	A2	27.01.1988	EPO					
	AO	EPO	292 660	A2	30.11.1988	EPO					
	AP	EPO	348 203	Al	27.12.1989	Great Britain					
	AQ	EPO	418 648	A1	27.03.1991	EPO-Germany					
138	AR	FR	2.130.975		10.11.1972	France					

Examiner Signature	Villa	Date Considered	01/04
	, , , , , , , , , , , , , , , , , , , ,		

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>3</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

 $\rightarrow \blacksquare$ U.S. Patent and Trademark Office: U.S. DEPARTMENTO COMMERCE Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMIL control numb Complete if Known Substitute for form 1449A/PTO Application Number 09/815,262 833407 INFORMATION DISCLOSURE Filing Date March 11, 2001 OSTATEMENT BY APPLICANT First Named Inventor Meng et al. Group Art Unit 1614 Lise as many sheets as necessary) **Examiner Name** Not Assigned Attorney Docket Number 04676.105055 3 PADEMAPY FOREIGN PATENT DOCUMENTS (CONTINUED) 24.11.1972 France 2.133.024 FR 08.12.1972 France BB FR 2.134.810 France 19.01.1973 FR 2.140.769 BC BD FR 2.168.137 31.08.1973 France(Eng. Trans.)

<u>,                                      </u>			
		OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS	
Examiner Initials *	Cite No. 1	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>6</sup>
K	BE	CHEMICAL ABSTRACT, DATABASE CHEMABS 'Online!, CHEMICAL ABSTRACTS SERVICE, COLUMBUS, OHIO, US, STN, Accession No. 127:75973, XP002115597, see abstract; RN 1706-68-9 & V.Z. LANKIN ET AL.: DOKL. AKAD. NAUK, V. 351, No. 4, 1996, pgs. 554-557.	
K	BF	CHEMICAL ABSTRACT, DATABASE CHEMABS 'Online!, CHEMICAL ABSTRACTS SERVICE, COLUMBUS, OHIO, US, STN, CAPLUS Accession No. 1970:445047, XP002124423, see abstract; RN 27428-10-0, 27428-13-3, 27428-14-4, 27428-15-5, 27428-16-6, 27428-17-7, 27428-18-8, 27428-19-9 & M. B. NEUWORTH ET AL.: J. MED. CHEM., V. 13, No. 4, 1970, pp. 722-725.	
t	BG	CHEMICAL ABSTRACT, DATABASE CHEMABS 'Online!, CHEMICAL ABSTRACTS SERVICE, COLUMBUS, OHIO, US, STN, CAPLUS Accession No. 1986:28675, XP002124424, see abstract; RN 99661-86-6, 99661-87-7, 27466-44-0 & CHEMICAL ABSTRACTS, Vol. 104, No. 5, 3 February 1986 (1986-02-03), Columbus, Ohio, US; Abstract No. 28675, abstract & P. DE MEGLIO ET AL.: FARMACO, ED. SCI., Vol. 40, No. 11, 1985, pages 833-844.	~
M	ВН	COMINACINI et al., "Antioxidants Inhibit the Expression of Intercellular Cell Adhesion molecule-1 and Vascular Cell Adhesion Molecule-1 Induced by Oxidized LDL on Human Umbilical Vein Endothelial Cells," Free Radical Biology & Medicine, Vol. 22, Nos. 1/2, pp. 117-127, 1997.	
K	BI	FELDMAN, Davis, et al., "The In Vitro and Ex Vivo Antioxidant Properties, and Hypolipidemic Activity of CGP 2881," Atherosclerosis, 28 December 1998, Vol. 144, pp. 343-355.	
	BJ	FRUEBIS, Joachim, "A Comparison of the Antiatherogenic Effects of Probucol and of a Structural Analogue of Probucol in Low Density Lipoprotein Receptor-deficient Rabbits," The American Society for clinical Investigation, Inc., July 1994, Vol. 94, pp. 392-398.	

Examiner Signature	6)/6	Date Considered	01/04

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup>Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>3</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Please	type	a	plus	sign	(+)	inside
this bo			•	•		

→ ⊞

PTO/SB/08A (08-06) Approved for use through 10/31/2002. OMB 0651-0031 U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Substitute for form 1449A/PTO		Complete if Known				
	•	Application Number	09/ <del>815,262</del> \$3340;	20	JA	П
	N DISCLOSURE	Filing Date	March 11, 2001	Z	Z	T
OSTATEMENT B	Y APPLICANT	First Named Inventor	Meng et al.	33	<del></del>	Ī
(A)		Group Art Unit	1614	66	20	<
VAN 1 5 2002 (Luse as many sheets as necessary)		Examiner Name	Not Assigned	8	_ = =	Ī
Sheet &	of 3	Attorney Docket Number	04676.105055	g		7
PADEMAPY				<b>,</b>		
OTHER P	RIOR ART - NON PAT	ENT LITERATURE DOC	UMENTS (CONTINUED)			
CA MAO et	•	of Probucol and Its Analogu	es in Hypercholesterolemic V	Vatana	be	

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS (CONTINUED)						
M	CA	MAO et al., "Antioxidant Activity of Probucol and Its Analogues in Hypercholesterolemic Watanabe Rabbits," Journal of Medicinal Chemistry, January 1991, Vol. 34, No. 1, pp. 298-302.				
M	СВ	MAO et al. "Attenuation of Atherosclerosis in a Modified Strain of Hypercholesterolemic Watanabe Rabbits with Use of a Probucol Analogue (MDL29,311) That Does Not Lower Serum Cholesterol," Arteriosclerosis and Thrombosis, September/October 1991, Vol. 11, No. 5, pp. 1266-1275.				
W	CC	RAMASAMY, Santhini et al., "Modulation of Expression of Endothelial Nitric Oxide Synthase by Nordihydroguaiaretic Acid, a Phenolic Antioxidant in Cultured Endothelial Cells," Molecular Pharmacology, 5 April 1999, Vol. 56, pp. 116-123.				

Examiner Signature	Lillos	Date Considered	01/04

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U. S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

<sup>\*</sup>EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>&</sup>lt;sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.